

Felt-Speck

NPIC Records Ingmt Orientation  
3 June 1965

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Have available B. Shams:

1. S-N Handbook
2. Corr Mgt "
3. Reports "
4. Equipment "

Hand cuts

Speed Better Form - <sup>conv</sup> mail + Dec  
Courier & Log Form  
How to convert to 8 1/2" files - Filing

~~How to~~  
of the President

## THE AGENCY RECORDS MANAGEMENT PROGRAM

I'm sure most of you recall these words of Rudyard Kipling: (SLIDE 2)

"I keep six honest serving-men  
(They taught me all I knew):  
Their names are What, and Why and When  
And How and Where and Who."

Today I will cover the What, Why, and How of Records Management.

(SLIDE) Specifically: (SLIDE 3) What is Records Management? Why is it needed? How our Agency has benefitted from Records Management and How you can use Records Management to assist top management in getting its job done easier and cheaper.

What is Records Management?

It is a specialized profession concerned with problems and practices relating to -

RECORDS CREATION

RECORDS MAINTENANCE

RECORDS DISPOSITION -

Basically Records Management is an economy program; it is an integral part of President Johnson's management improvement program. Later we will see just how many dollars we have saved by Records Management.

Records Management was originally conceived in terms of Records Retention and Records Disposition. This negative approach of the elimination or the destruction of records has been the traditional concept of the term "records management;" also since Records Management is involved in the systematic arrangement and keeping of papers, the term "Records Management" is immediately associated with "filing." In recent years, however, both industry and government have adopted the terms "paperwork" and "paperwork management" to broaden the concept of Records Management.

## THE AGENCY RECORDS MANAGEMENT PROGRAM

To develop an understanding of Records Management, let's draw an analogy with a most essential item in our daily lives--water.

The water in our rivers is essential. But at times these waters have gone out of control; the rivers have overflowed their banks; waste and destruction have resulted. We certainly have seen evidence of this recently in Iowa, Indiana, and Louisiana.

Paperwork is also essential. It is probably the life blood of our Agency. But paperwork too, if it remains uncontrolled, can become a wasteful, unmanageable torrent.

Civil engineers have, out of necessity, developed flood control programs. Management engineers, equally out of necessity, have designed a paperwork control program; we call it Records Management. (SLIDE 4)

## THE AGENCY RECORDS MANAGEMENT PROGRAM

Let's look at the elements that go into the building of a paperwork flood control project. (SLIDE 5)

To manage paperwork at its source - Creation - we direct our attention to forms, reports, and correspondence. While different standards and approaches are applied to managing each of these record making elements they have these common goals:

First            Improve the quality of paperwork - accuracy in reports -  
no gobblegook in correspondence - better designed  
forms - easier to use forms.

Second           Eliminate and prevent unnecessary paperwork, multiple  
use of the same document. *70. Copies of General Orders.*

Third            Reduce the cost of creating paperwork - Form letters  
where practicable. *to form letter costs — a dictated letter costs —*

Does anyone here want to guess how much it costs to

create one safe full of records?

\$16,666. -

Safe            538.

Space           32.

Labor          16,000.

Paper &  
Folders        96.  
                 \$16,666.

## THE AGENCY RECORDS MANAGEMENT PROGRAM

To manage the keeping and use of records (SLIDE 6) our program covers:

1. Filing supplies and equipment - safes, cabinets, folders, *shelf files*
2. File systems - subject-numeric-alphabetic-Soundex or a combination of these.
3. Document control Logs - courier receipts.
4. Vital Records - essential - about 5%.

The use of these elements will:

1. Reduce costs for supplies, equipment, and office space.
2. Increase filing and finding efficiency.
3. Expedite the processing and location of documents, and
4. Ensure continued agency operations in the event of a disaster - any kind, not just war emergency.

### THE AGENCY RECORDS MANAGEMENT PROGRAM

To manage the disposition of records (SLIDE 7) our program includes:

1. Active Records Control Schedules on all records, and
2. The use of our Archives and Records Center facilities.

A Records Control Schedule is an approved inventory and description of records holdings - it provides the legal authority to destroy records, or to retire them to our Archives and Records Center. (SLIDE 8) Records Center Slide.

The Records Control Schedule therefore, is the key to records disposition, which will: (SLIDE 9)

1. Save Office Space --- by removing from our offices those records no longer needed in daily operations.
2. Save reference and filing time --- by separating inactive records from active material.
3. Save filing equipment costs --- by preventing the purchase of additional equipment or by releasing equipment for use in other components, and
4. Identify permanently valuable records --- those records of archival value to the Agency.

## THE AGENCY RECORDS MANAGEMENT PROGRAM

This, briefly, is Records Management. To summarize a moment, let's get back to the dam. (SLIDE 10)

These, therefore, are the basic elements of paperwork that should be covered if a Records Management Program is to be effective - Forms, Reports, Correspondence, Filing Systems, Equipment, Filing Supplies, Vital Records - Records Disposition - Archives and Records Center. The absence of any segment of the paperwork dam will result in dollar leaks as assuredly as a hole in the bottom of a reservoir would drain off our water supply.

Sometimes I am asked, "Where should we start in establishing a Records Management Program?" Actually, it makes no difference - one element is as important as another. It's like drawing a circle - every part is dependent upon the other to make a complete circle.

## THE AGENCY RECORDS MANAGEMENT PROGRAM

### WHY DO WE NEED RECORDS MANAGEMENT?

We have two reasons - a legal one and a moral one.

The Legal one stems from a history of attempts by the Federal Government at Records Management dating back to the late 1800's. Prior to World War I, four separate congressional committees: the Dockery, the Keep, the Cockrell, and the Taft attacked the mounting records problem. Some of their recommendations concerned the use of typewriters and carbon paper, subject and decimal filing, and the disposal of useless files.

Unfortunately, these early commissions brought about only transitory results. World War I, the public support years during the depression, and World War II, increased Federal records holding to a point that demanded drastic action.

The military services took the lead; the Navy Department made the greatest strides. The Navy plan brought all of the elements of Records Management, record making, record keeping, and records disposition within the scope of a coordinated program. This concept is followed today by Industry, state and municipal Governments. 44 of our 50 states have well organized programs and such large concerns as IBM, Union Carbide - Bethlehem Steel and Ford Motor Co. follow the Navy pattern.

Navy's accomplishments really lead to the recommendations of the First Hoover Commission in 1949, which in turn brought about enactment by Congress of the Federal Records Act of 1950.



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The Federal Records Act is CIA's legal authority for a Records Management Program. The Act is also our legal obligation; our General Counsel, in October 1950, rendered the opinion that the Agency should comply with the Federal Records Act to the fullest extent possible.

(SLIDE 11)

The Federal Records Act, therefore, together with the General Counsel's opinion, and the Agency Records Management Regulation,  form the foundation for our Records Management Program.

STAT

### THE AGENCY RECORDS MANAGEMENT PROGRAM

Our moral obligation, and the obligation of each Federal Agency, was brought forcefully home in 1954 when the Second Hoover Commission reported that each year the Government spends \$4 billion to handle 25 billion pieces of paper, and that \$225 million dollars of this amount could be saved by greater emphasis on paperwork management.

But what about ourselves? Do we fit into the picture drawn by the Hoover Commission? Most emphatically: "Yes, we do!"

There are some, however, who may think otherwise, who feel that CIA is different, and that our records problems can't be compared with those of other agencies. Actually, we are different. And this difference makes Records Management even more appropriate to CIA than it is to many other agencies.

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Our security measures and the nature of intelligence activities generate paperwork which would be considered abnormal in other agencies. Moreover, we must retain our records for long, sometimes undetermined, periods if we are to carry out our intelligence mission.

Look at the effect that this has had on records volume. (SLIDE 12) Since 1954 our records volume in offices has increased from 85,711 cu. ft. (10714 safes) (EXPLAIN A CU. FT.) to 155,471 in 1962 and to 193,274 cu. ft. in 1964 (SLIDE 13). During this same ten year period however, due to increased Records Management activity we removed almost 300,000 cu. ft. of space; at today's prices the safes would cost over 19½ million dollars and I don't know where we would find space for them - even if we could buy them.

But the Agency is still creating each year some 200 million pages of record material. (SLIDE 14)



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No wonder Mr. Kirkpatrick, The Executive Director, is quoted as saying, "There are times when I think our greatest impact on the Russians would be to bundle up most of our paper and drop it on them."

## THE AGENCY RECORDS MANAGEMENT PROGRAM

On the basis of this data, I think you will agree that the overall need for Records Management is great. Let's take a few moments, then, to examine this need according to the main elements of Records Management. Let's see first what has been done, and then what needs to be done.

Let's start with forms - (SLIDE 15) In 1954, 655 forms were under control. Since then we have developed 3,623 new forms. Simple addition would give you an inventory today of 4,278 forms. However, there were 2,199 forms under control on June 30, 1964. The 2,054 forms not included in today's inventory are the ones eliminated through forms analysis.

This is forms management in action, not in theory--a continuous cost-reduction effort, aimed at putting well-designed, efficient-to-use forms in the hands of our people while seeing to it that unnecessary forms are avoided or eliminated.

As we have increased our forms analysis activity, the average annual usage per form has decreased. Prior to 1955 the average annual usage per form was over 19,000 copies. Since then, with more forms being brought under control, the annual usage per form has averaged about 13,000 copies. This reduction represents the avoidance of printing, handling, and stocking over 25 million copies of forms for the current year. This is equivalent to 1,565 safes costing over \$882,000.

## THE AGENCY RECORDS MANAGEMENT PROGRAM

But let's look at the other side of the picture.

The big job still to be done in forms management is the staggering task of rounding up and analyzing the thousands of "bootleg" forms that the do-it-yourself addicts have developed. We estimate that there are at least 20,000 of these. We hope to reduce this large volume by greater emphasis at the operating level. To do this we are making surveys in operating offices and training more people.

We are holding Forms Workshops for Agency Records Officers, to show them how they can improve forms and their related procedures. In addition, <sup>we</sup> ~~we~~ recently completed an Agency Forms Management Handbook which will be a guide line for ~~you and other~~ Agency Records Officers.

(SLIDE 16) The real profit, however, in an active forms management program is in developing efficient and effective procedures which stem from the use of the form. Industry and Government estimate that the processing, filing, storing, and other handling of forms amounts to 20 times printing costs. Last year our operating procedures cost almost 5 million dollars. So on this basis we will call Forms our Challenge No.1 in the Records Management program.

THE AGENCY RECORDS MANAGEMENT PROGRAM

Next is Reports Management - and here is an area that frankly we have not exploited fully - but some progress has been made.

(SLIDE 17)

In 1956, with the help of Operating Offices, we inventoried and analyzed all the reports in the DD/S and DD/I areas. We discovered these interesting things:

STAT

First

Second

Third

Fourth

The survey pointed out that if Reports Management is to continue successfully as a paperwork control technique, it must be applied to every administrative reporting requirement in every office.

### THE AGENCY RECORDS MANAGEMENT PROGRAM

This is a big order, and we've never had the manpower for a program of such scope. But we need to get busy because the extensive use of computers and other automatic data processing equipment makes it easier and easier to produce more reports and create more paper. We estimate that at least 12 million pieces of paper were created in the Agency last year by reports. I believe that is conservative - particularly when I realize that a computer can produce 100 cu. ft. of paper per day as contrasted to 1 inch per day by typewriter. So reports are probably Challenge  
No. 2. (SLIDE 18)

### THE AGENCY RECORDS MANAGEMENT PROGRAM

The third element in the management of record making is Correspondence Management. (SLIDE 19) This includes letters, memos, dispatches, cables, and almost any written communication.

In this field, too, we have made encouraging progress. A ~~revised~~ manual on correspondence style and procedures was published in the hand-book series in 1954. This was recently revised.

We've discovered that pride of authorship plays such an important role in the correspondence field, that the friendly persuasion approach produces better results than regulations. So we have promoted such practices as:

1. The use of buck slips, telephone calls, personal contacts, concurrences, and approvals on basic correspondence, and other means to eliminate the need for correspondence.
2. The elimination of nonessential copies.
3. The use of form letters and pattern paragraphs to handle routine repetitive-type correspondence.
4. The use of letter-ex and carbon-less paper to simplify the typists' job of writing and to eliminate the security hazard of storing and reusing carbon.

Obviously, these are practices that can't be regulated. So we have promoted them by publicizing and making available booklets, pamphlets, articles, and fliers.



**THE AGENCY RECORDS MANAGEMENT PROGRAM**

Turning now to what's to be done in Correspondence Management, (SLIDE 20) we find that our future program will be mainly a continuation of past activity, with greater emphasis in some areas. And here we have another challenge - the Volume of Correspondence - at least 8 million pieces of paper each year at a cost of 19 million dollars. This is another area where you can help to reduce operating costs. Let's call correspondence, Challenge No. 3.

## THE AGENCY RECORDS MANAGEMENT PROGRAM

Let's move along now. It has been said that a Records Management program that does not control the utilization of filing supplies and equipment is doomed to failure. (SLIDE 21)

Consider for a moment what the Agency situation would be today if the conditions of about 1952 had been continued. (SLIDE 22) At that time 54 types of folders were being purchased by the Agency. Today we stock only nine types. Seventeen types of safes were being stocked in 1952 now we carry only six.

Also, in the early days of the Program, poor or little use was being made of specialized files. Today, with more experience in this field, (SLIDE 23) we advise offices on the advantages and disadvantages of using the many types of mechanized files, as well as the recent substitute for filing cabinets---open shelf filing equipment. (OCR Graphics Registry) Our recommendations for shelf filing alone have paid dividends of over \$400,000 in equipment and space savings.

We are also controlling and reusing excess and surplus file equipment by reviewing all requisitions to see if any of our surplus can be used "as is" or by modification. We saved about \$150,000 for the Agency last year by better control in this area. Now we have the support and assistance of President Johnson.

Our Investment in filing equipment of all kinds is well over 4 million dollars. The President challenges us not to exceed this investment! This is <sup>a</sup> real challenge - Challenge No. 4.

### THE AGENCY RECORDS MANAGEMENT PROGRAM

The establishment of uniform filing systems and a file classification plan for administrative files also has paid off handsomely. (SLIDE 24)  
By providing a basic guide, the Agency Handbook for Subject Filing, and by working with various offices, we have promoted the conversion of over 250 files to the improved uniform system for support records. I believe some of you here are familiar with this system. Incidentally, it can be used for all types of records, not just support papers.

Simultaneously with improving their filing systems, many offices have also given their document control procedures a new look. (SLIDE 25)  
The cumbersome log book has been replaced by a modern 3" x 5" ticket system. The system begins at a registry where at one writing the registry clerk makes enough tickets to provide copies for her needs, as well as for the logging and cross-referencing needs of each subordinate control point.

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(SLIDE 26)

Essential to the continuation of every office in the event of an emergency are the vital records being set aside, protected, and kept up-to-date. This program has shown steady improvement in the quality and currency of collections on deposit, and in the operations of the Vital Records repository. Our key to keeping this program active is a Vital Records Deposit Schedule (SLIDE 27) and a certification by the Principal Operating Official (SLIDE 28)

### THE AGENCY RECORDS MANAGEMENT PROGRAM

Well, so much for what's been done in managing record keeping.  
What about the job ahead?

Our review of requirements for filing supplies and equipment must be continued to prevent the purchase of equipment which cannot be justified and we must coordinate the agency-wide use of all filing equipment to conform to President Johnson's management improvement program.

Here is an illustration of how a well coordinated Agency-wide Program for Utilization of Filing Equipment operates and saves money - The Documents Division of OCR requested a super elevator file for storing Punch Cards at a cost of \$3,500.

The requisition and the justification came to us for approval. A few days before this requisition came to us the National Archives and Records Service of GSA had notified us of the availability of the same type of equipment which could be obtained without cost from TIME Magazine in Chicago. [REDACTED] verified that the equipment was in good working order. In the meantime, NPIC and the Office of Security developed needs for the same type of equipment - So we obtained 12 of these special Card Files for the cost of transportation alone-- \$1,048.94 and saved the Agency about 41 thousand dollars.

STAT

### THE AGENCY RECORDS MANAGEMENT PROGRAM

Now let's get on to records disposition. This element of Records Management is concerned with the systematic elimination of inactive records from offices by destruction or removal to our Archives and Records Center for later destruction or preservation.

Earlier, I mentioned that the volume of records in headquarters has continued to rise; however, from 1960 to 1963 we had a significant decline - while we are pleased with these results for three consecutive years, I am not pleased with the increase of 30,000 cu. ft. in FY 1964. This is not due to lack of records disposition activity - as a matter of fact, the records removed from office space in 1964 increased by 6,517 cu. ft., about 16% over 1963. The increase in holdings at headquarters is due to several factors - First - [REDACTED] STAT  
Second - a significant change in paper collected by OCR for over all Agency needs; Third - effect of computers and Fourth - the use of quick copying equipment. *slide* (Describe need to hold paper because ADP programs are not complete.)

*the*  
Since <sup>the</sup> inception of the Agency Records Disposition Program in 1952, almost 300 thousand cu. ft. of inactive records have been removed from headquarters offices - [REDACTED] STAT  
We estimate that the monetary benefit from our Records Disposition Program from 1951 to date is almost 9 million dollars. (SLIDE 29)

### THE AGENCY RECORDS MANAGEMENT PROGRAM

We feel that this is a pretty impressive record, and that all who have contributed should be justly proud. But before we get too self-assured, let's look at the problem ahead. We ~~must~~ head off the continued growth of records - we cannot tolerate the continued increase similar to what we had last year - we simply don't have the space. And President Johnson says we cannot buy any more correspondence cabinets.

The space problem is just one result of having too many records. There are also the increased personnel and equipment costs incidental to maintaining a hoard of paper, and even more serious, the detrimental, bogging down effect this mass can have on our operations. (Emphasize)

With records disposition I have covered the need for Records Management through the full cycle of paperwork. Now I want to ask you a question but as a refresher to help you answer it, let's flash back to our paperwork control dam. (SLIDE 30)

Is the Records Management program in your offices an effective one in terms of meeting the need for controlling the full cycle of paperwork? Or - Are there any dollar leaks in your paperwork dam?

If our discussion has pointed out any weaknesses in your Records Management program, then our time has been well spent. But to stop here after pointing out a problem and not offering a solution would be poor business. So let's probe the last point I will cover: How can you help to carry out an effective Records Management program?

**THE AGENCY RECORDS MANAGEMENT PROGRAM**

I think our approach should be based on a premise developed by Mr. Robert Schiff, of the National Records Management Council. He said: "The Records Management force should be as effective as the forces organized to produce paperwork."

I would also add another premise on which to base our approach. "Offices responsible for creating paperwork should share equally in controlling it."

If you will accept these two premises, I think you'll agree that they place upon each Operating Office a direct responsibility to carry out an effective Records Management Program and as the first premise implies, an effective program will depend on an effective Records Management force.



### THE AGENCY RECORDS MANAGEMENT PROGRAM

I'm not sure of Mr. Schiff's definition of a Records Management force, but I would interpret it to be the entire organized effort in an office to manage its paperwork.

You can be an important part of the Agency's organized efforts to carry out an effective Records Management program. Here is how you can make this effort successful -

- First        Get top management's backing by direction and actions  
                  (Office Memo - Staff Meeting)
- Second       Develop the temperament of the people in your office towards  
                  Records Management. Establish a climate of acceptance in  
                  which Records Management can thrive.
- Third        Develop your talent for Records Management. Attend  
                  appropriate Work Shops and meetings. Read appropriate  
                  books and periodicals.
- Fourth       Time. Convince your boss that you need sufficient time  
                  to do a creditable job.
- Fifth        Strengthen the ties between you and the operating people.  
                  Let them know where and how they can get help from you.
- Sixth        Let your boss know about your plans, your problems, and
- Seventh      Report your progress to your boss. Tell him what you are  
                  doing - how much paper eliminated, etc.

President Johnson told his cabinet recently: "Cut out excessive paperwork because it breeds overstaffing."

"In Short," the President said, "I want you to give as much attention to management as you do to your program."

Isn't this the best mandate you can have to help us meet the Challenge of Records Management?

(SLIDE 31)

Thank you